IAPD Report

KENNETH EDWARD SHAW

CRD# 1359992

IAPD Information About Representatives

IAPD offers information on all current-and many former representatives. Investors are strongly encouraged to use IAPD to check the background of representatives before deciding to conduct, or continue to conduct, business with them.

What is included in a IAPD report?

IAPD reports for individual representatives include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards.

It is important to note that the information contained in an IAPD report may include pending actions or allegations that may be contested, unresolved or unproven. In the end, these actions or allegations may be resolved in favor of the representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

Where did this information come from?

The information contained in IAPD comes from the Investment Adviser Registration Depository (IARD) and FINRA's Central Registration Depository, or CRD, (see more on CRD below) and is a combination of:

- information the states require representatives and firms to submit as part of the registration and licensing process, and
- information that state regulators report regarding disciplinary actions or allegations against representatives.

How current is this information?

Generally, representatives are required to update their professional and disciplinary information in IARD within 30 days.

Need help interpreting this report?

For help understanding how to read this report, please consult NASAA's IAPD Tips page http://www.nasaa.org/IAPD/IARReports.cfm

What if I want to check the background of an Individual Broker or Brokerage Firm?

To check the background of an Individual Broker or Brokerage firm, you can search for the firm or individual in IAPD. If your search is successful, click on the link provided to view the available licensing and registration information in FINRA's BrokerCheck website.

Are there other resources I can use to check the background of investment professionals?

It is recommended that you learn as much as possible about an individual representative or Investment Adviser firm before deciding to work with them. Your state securities regulator can help you research individuals and certain firms doing business in your state. The contact information for state securities regulators can be found on the website of the North American Securities Administrators Association http://www.nasaa.org

[User Guidance](#)

[www.adviserinfo.sec.gov](#)

Report Summary

KENNETH EDWARD SHAW (CRD# 1359992)

The report summary provides an overview of the representative's professional background and conduct. The information contained in this report has been provided by the representative, investment adviser and/or securities firms, and/or securities regulators as part of the states' investment adviser registration and licensing process. The information contained in this report was last updated by the representative, a previous employing firm, or a securities regulator on **04/22/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	WELLS FARGO ADVISORS	CRD# 19616	01/03/2011
B	WELLS FARGO CLEARING SERVICES, LLC	CRD# 19616	01/03/2011

QUALIFICATIONS

This representative is currently registered in **6** SRO(s) and **20** jurisdiction(s).

Is this representative currently Inactive or Suspended with any regulator? **No**

Note: Not all jurisdictions require IAR registration or may have an exemption from registration.
Additional information including this individual's qualification examinations and professional designations is available in the Detailed Report.

REGISTRATION HISTORY

This representative was previously registered with the following firm(s):

	FIRM	CRD#	LOCATION	REGISTRATION DATES
IA	WELLS FARGO INVESTMENTS, LLC	10582	SAN DIEGO, CA	03/25/2004 - 01/03/2011
B	WELLS FARGO INVESTMENTS, LLC	10582	SAN DIEGO, CA	01/13/2004 - 01/03/2011
B	PRESIDENTIAL BROKERAGE, INC.	28784	AUSTIN, TX	03/28/2003 - 01/02/2004

For additional registration and employment history details as reported by the individual, refer to the Registration and Employment History section of the Detailed Report.

DISCLOSURE INFORMATION

Disclosure events include certain criminal charges and convictions, formal investigations and disciplinary actions initiated by regulators, customer disputes and arbitrations, and financial disclosures such as bankruptcies and unpaid judgments or liens.

Are there events disclosed about this representative? **Yes**

The following types of events are disclosed about this representative:

Type	Count
Regulatory Event	1
Criminal	1
Customer Dispute	3
Financial	4

Report Summary

Judgment/Lien	2

Qualifications

REGISTRATIONS

This section provides the SRO, states and U.S. territories in which the representative is currently registered and licensed, the category of each registration, and the date on which the registration becomes effective. This section also provides, for each firm with which the representative is currently employed, the address of each location where the representative works.
This individual is currently registered with **20** jurisdiction(s) and 6 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **WELLS FARGO ADVISORS**

Main Address: ONE NORTH JEFFERSON AVENUE
MAIL CODE: H0004-05E
ST. LOUIS, MO 63103-2205

Firm ID#: 19616

	Regulator	Registration	Status	Date
B	Cboe Exchange, Inc.	General Securities Representative	Approved	11/30/2021
B	FINRA	General Securities Representative	Approved	01/03/2011
B	NYSE American LLC	General Securities Representative	Approved	07/29/2011
B	Nasdaq PHLX LLC	General Securities Representative	Approved	09/30/2011
B	Nasdaq Stock Market	General Securities Representative	Approved	01/03/2011
B	New York Stock Exchange	General Securities Representative	Approved	01/24/2011
B	Arizona	Agent	Approved	01/14/2020
B	California	Agent	Approved	01/03/2011
IA	California	Investment Adviser Representative	Approved	01/03/2011
B	Colorado	Agent	Approved	02/22/2024
B	Florida	Agent	Approved	01/03/2011
B	Georgia	Agent	Approved	10/21/2024
B	Hawaii	Agent	Approved	12/18/2024

Qualifications

	Regulator	Registration	Status	Date
B	Idaho	Agent	Approved	07/23/2021
B	Illinois	Agent	Approved	01/03/2011
B	Kentucky	Agent	Approved	05/27/2025
B	Michigan	Agent	Approved	10/23/2024
B	Minnesota	Agent	Approved	01/03/2011
B	Nevada	Agent	Approved	02/28/2020
B	New Jersey	Agent	Approved	09/19/2024
B	Ohio	Agent	Approved	04/23/2026
B	South Carolina	Agent	Approved	01/07/2016
B	South Dakota	Agent	Approved	11/01/2024
B	Texas	Agent	Approved	11/07/2018
IA	Texas	Investment Adviser Representative	Restricted Approval	11/07/2018
B	Virginia	Agent	Approved	09/10/2015
B	Washington	Agent	Approved	05/13/2021
B	Wyoming	Agent	Approved	04/24/2026

Branch Office Locations

WELLS FARGO ADVISORS
1674 MAIN ST
RAMONA, CA 92065

WELLS FARGO ADVISORS
4655 EXECUTIVE DR 10TH FL
[VJ-RBO]
SAN DIEGO, CA 92121

Qualifications

PASSED INDUSTRY EXAMS

This section includes all industry exams that the representative has passed. Under limited circumstances, a representative may attain registration after receiving an exam waiver based on a combination of exams the representative has passed and qualifying work experience. Likewise a new exam requirement may be grandfathered based on a representative's specific qualifying work experience. Exam waivers and grandfathering are not included below.

This individual has passed 0 principal/supervisory exams, 2 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	General Securities Representative Examination (S7)	Series 7	03/26/2003

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	03/19/2004
B	Uniform Securities Agent State Law Examination (S63)	Series 63	05/10/2003

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.

Registration & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
IA	03/25/2004 - 01/03/2011	WELLS FARGO INVESTMENTS, LLC	CRD# 10582	SAN DIEGO, CA
B	01/13/2004 - 01/03/2011	WELLS FARGO INVESTMENTS, LLC	CRD# 10582	SAN DIEGO, CA
B	03/28/2003 - 01/02/2004	PRESIDENTIAL BROKERAGE, INC.	CRD# 28784	AUSTIN, TX
B	01/03/1989 - 07/29/1994	PRUDENTIAL SECURITIES INCORPORATED	CRD# 7471	
B	04/23/1985 - 12/09/1988	DREXEL BURNHAM LAMBERT INCORPORATED	CRD# 7323	

EMPLOYMENT HISTORY

Below is the representative's employment history for up to the last 10 years.

Employment Dates	Employer Name	Position	Investment Related	Employer Location
11/2016 - Present	WELLS FARGO CLEARING SERVICES, LLC	REGISTERED REP	Y	SAN DIEGO, CA, United States
01/2011 - 11/2016	WELLS FARGO ADVISORS LLC	REGISTERED REP	Y	SAN DIEGO, CA, United States

OTHER BUSINESS ACTIVITIES

This section includes information, if any, as provided by the representative regarding other business activities the representative is currently engaged in either as a proprietor, partner, officer, director, employee, trustee, agent, or otherwise. This section does not include non-investment related activity that is exclusively charitable, civic, religious, or fraternal and is recognized as tax exempt.

SAFR SPORTS; NOT INV RELATED; CHESTER SPRINGS, PA; BUSINESS DEVELOPMENT; START DATE 6/22/2022; 12 HOURS PER MONTH; 0 DUIRNG TRADING; EDUCATING FRIENDS AND FORMER NFL COLLEAGUES ABOUT SAFR'S HELMET PROTECTORS AND THE IMPORTANCE OF ADDITIONAL PROTECTION TO REDUCE HEAD AND BRAIN TRAUMA.

Disclosure Summary

Disclosure Information

What you should know about reported disclosure events:

(1) Certain thresholds must be met before an event is reported to IARD, for example:

- A law enforcement agency must file formal charges before an Investment Adviser Representative is required to report a particular criminal event.;
- A customer dispute must involve allegations that an Investment Adviser Representative engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least $5,000.

(2) Disclosure events in IAPD reports come from different sources:

As mentioned in the "About IAPD" section on page 1 of this report, information contained in IAPD comes from Investment Adviser Representatives, firms and regulators. When more than one of these sources reports information for the same disclosure event, all versions of the event will appear in the IAPD report. The different versions will be separated by a solid line with the reporting source labeled.

(3) There are different statuses and dispositions for disclosure events:

- A disclosure event may have a status of *pending, on appeal,* or *final*.
  - o A "pending" disclosure event involves allegations that have not been proven or formally adjudicated.
  - o A disclosure event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
  - o A "final" disclosure event has been concluded and its resolution is not subject to change.
- A final disclosure event generally has a disposition of *adjudicated, settled* or *otherwise resolved*.
  - o An "adjudicated" matter includes a disposition by (1) a court of law in a criminal or civil matter, or (2) an administrative panel in an action brought by a regulator that is contested by the party charged with some alleged wrongdoing.
  - o A "settled" matter generally represents a disposition wherein the parties involved in a dispute reach an agreement to resolve the matter. Please note that Investment Adviser Representatives and firms may choose to settle customer disputes or regulatory matters for business or other reasons.
  - o A "resolved" matter usually includes a disposition wherein no payment is made to the customer or there is no finding of wrongdoing on the part of the Investment Adviser Representative. Such matters generally involve customer disputes.

(4) You may wish to contact the Investment Adviser Representatives to obtain further information regarding any of the disclosure events contained in this IAPD report.

DISCLOSURE EVENT DETAILS

When evaluating this information, please keep in mind that some items may involve pending actions or allegations that may be contested and have not been resolved or proven. The event may, in the end, be withdrawn, dismissed, resolved in favor of the Investment Adviser Representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to the Investment Adviser Registration Depository. Some of the specific data fields contained in the report may be blank if the information was not provided.

The following types of events are disclosed about this representative:

Type	Count
Regulatory Event	1
Criminal	1
Customer Dispute	3
Financial	4
Judgment/Lien	2

Regulatory Event

This disclosure event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a federal regulator such as the Securities and Exchange Commission or the Commodities Futures Trading Commission, or a foreign financial regulatory body) for a violation of investment-related rules or regulations. This disclosure event may also include a revocation or suspension of an Investment Adviser Representative's authority to act as an attorney, accountant or federal contractor.

Disclosure 1 of 1

Reporting Source:	Individual
Regulatory Action Initiated By:	CALIFORNIA DEPARTMENT OF INSURANCE
Sanction(s) Sought:	Other
Other Sanction(s) Sought:	RESTRICTED LICENSE
Date Initiated:	05/19/2007
Docket/Case Number:	OAH NO. L2006050607
Employing firm when activity occurred which led to the regulatory action:	WELLS FARGO INVESTMENTS, LLC
Product Type:	No Product
Other Product Type(s):	
Allegations:	STATE DEPARTMENT OF INSURANCE RESTRICTED INSURANCE LICENSE BASED ON MISDEMEANOR CONVICTION PREVIOUSLY DISCLOSED.
Current Status:	Final
Resolution:	Order
Resolution Date:	05/19/2007
Sanctions Ordered:	Revocation/Expulsion/Denial

Other Sanctions Ordered:	INSURANCE LICENSE IS REVOKED AND REISSUED UNDER RESTRICTED STATUS FOR A PERIOD OF TWO YEARS. CONDITIONS OF ORDER, WHICH INCLUDE REFERENCE TO OBEYING ALL LAWS, MUST BE MET DURING PERIOD OF RESTRICTION.
Sanction Details:	PER DEPT OF INSURANCE, INSURANCE LICENSE REMAINS ACTIVE, BUT RESTRICTED PER THE CONDITIONS SET FORTH IN ORDER. NO FINES
Broker Statement	THIS IS NOT RELATED TO ANY INSURANCE ACTIVITIES.

Criminal

This disclosure event involves a criminal charge against the Investment Adviser Representative that has resulted in a dismissal, plea, acquittal or conviction. The criminal matter may relate to any felony or certain misdemeanor offenses (e.g., bribery, perjury, forgery, counterfeiting, extortion, fraud, wrongful taking of property).

Disclosure 1 of 1

Reporting Source:	Individual
Court Details:	SAN DIEGO SUPERIOR COURT, SAN DIEGO, CA. CASE #CN183776
Charge Date:	11/05/2004
Charge Details:	PC 243(D);ONE COUNT; FELONY ASSAULT; NOT GUILTY; SUBSEQUENT HEARING LED TO CONVICTION ON MISDEMEANOR.
Felony?	Yes
Current Status:	Final
Status Date:	03/28/2005
Disposition Details:	CONVICTED ON PC 242 (MISDEMEANOR ASSAULT).
Broker Statement	REGRETTABLY, I WAS INVOLVED IN A PHYSICAL ALTERCATION ON JULY 4, 2004. I REACTED TO AN ASSAULT AND MADE PHYSICAL CONTACT WITH ONE OF FOUR YOUNG MEN INVOLVED IN THE INCIDENT. I WAS CHARGED WITH FELONY ASSAULT AS A RESULT OF THE INCIDENT AND WENT TO A JURY TRIAL AND WAS ACQUITTED OF THE FELONY, YET WAS CONVICTED OF A LESSER, MISDEMEANOR ASSAULT CHARGE.

Customer Dispute

This section provides information regarding a customer dispute that was reported to the Investment Adviser Registration Depository (IARD) by the Investment Adviser Representative (IAR), an investment adviser and/or securities firm, and/or a securities regulator. The event may include a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit that contains allegations of sales practice violations against the individual.

The customer dispute may be pending or may have resulted in a civil judgment, arbitration award, monetary settlement, closure without action, withdrawal, dismissal, denial, or other outcome.

Disclosure 1 of 3

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	Wells Fargo Advisors
Allegations:	Client's authorized representative alleged financial advisor sold assets without consideration for the tax consequences and moved the proceeds from accounts with no fees into costly managed accounts. (1/1/2017-12/31/2017)
Product Type:	Other: Wrap Accounts
Alleged Damages:	$43,542.00
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	10/11/2018
Complaint Pending?	No
Status:	Settled
Status Date:	01/10/2019
Settlement Amount:	$34,000.00
Individual Contribution Amount:	$0.00

Disclosure 2 of 3

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	Wells Fargo Advisors
Allegations:	Client claimed that his entire IRA was erroneously converted to a Roth IRA which lead to tax consequences for the client. (12/19/2018-12/24/2018)
Product Type:	No Product
Alleged Damages:	$7,292.00
Is this an oral complaint?	No
Is this a written complaint?	Yes

Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	06/06/2019
Complaint Pending?	No
Status:	Denied
Status Date:	06/20/2019
Settlement Amount:	
Individual Contribution Amount:	

Disclosure 3 of 3

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	WELLS FARGO ADVISORS, LLC
Allegations:	BREACH OF CONTRACT, NEGLIGENCE, BREACH OF FIDUCIARY DUTY, SUITABILITY, VIOLATION OF SECTION 12(A)(2) OF THE SECURITIES ACT OF 1933, VIOLATION OF SECTION 509(B) OF THE UNIFORM SECURITIES ACT, VIOLATION OF SECTION 25401 OF CALIFORNIA CORPORATIONS CODE. (09/04/2007-01/13/2011)
Product Type:	Other: WRAP ACCOUNTS
Alleged Damages:	$60,000.00
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	03/15/2011
Complaint Pending?	No
Status:	Settled
Status Date:	10/31/2012
Settlement Amount:	$12,500.00
Individual Contribution Amount:	$0.00
Broker Statement	I DENY THE ALLEGATIONS.

Financial

This disclosure event involves a final bankruptcy, compromise with one or more creditors, or Securities Investor Protection Corporation liquidation that occurred within the last 10 years and that involved the Investment Adviser Representative or an organization/investment adviser that the Investment Adviser Representative controlled that occurred within the last 10 years.

Disclosure 1 of 4

Reporting Source:	Individual
Action Type:	Compromise
Action Date:	06/03/2019
Organization Investment-Related?	
Action Pending?	No
Disposition:	Direct Payment Procedure
Disposition Date:	06/03/2019
If a compromise with creditor, provide:	
Name of Creditor:	Chase
Original Amount Owed:	$15,095.00
Terms Reached with Creditor:	Pay creditor $6038 via debt relief firm Consolidation Plus. Making payments monthly of $697.00
Amount Paid:	$6,038.00
SIPA (Securities Investor Protection Act)Trustee:	
Currently Open?	Yes
Date Direct Payment Initiated/Filed or Trustee Appointed:	06/03/2019

Disclosure 2 of 4

Reporting Source:	Individual
Action Type:	Compromise
Action Date:	06/03/2019
Organization Investment-Related?	No
Action Pending?	No
Disposition:	Direct Payment Procedure
Disposition Date:	06/03/2019
If a compromise with creditor, provide:	
Name of Creditor:	Eisenhower Health

Original Amount Owed:	$2,196.00
Terms Reached with Creditor:	Reached an agreement via Consolidation Plus making payments of $697 per month
Amount Paid:	$1,941.00
SIPA (Securities Investor Protection Act)Trustee:	
Currently Open?	No
Date Direct Payment Initiated/Filed or Trustee Appointed:	06/03/2019

Disclosure 3 of 4

Reporting Source:	Individual
Action Type:	Compromise
Action Date:	06/03/2019
Organization Investment-Related?	No
Action Pending?	No
Disposition:	Direct Payment Procedure
Disposition Date:	06/03/2019
If a compromise with creditor, provide:	
Name of Creditor:	Capitol One
Original Amount Owed:	$4,280.98
Terms Reached with Creditor:	Payments every 2 weeks of $697 via debt relief firm Consolidation Plus
Amount Paid:	$1,934.68
SIPA (Securities Investor Protection Act)Trustee:	
Currently Open?	Yes
Date Direct Payment Initiated/Filed or Trustee Appointed:	06/03/2019

Disclosure 4 of 4

Reporting Source:	Individual
Action Type:	Compromise
Action Date:	06/03/2019
Organization Investment-Related?	No

Action Pending?	No
Disposition:	Direct Payment Procedure
Disposition Date:	06/03/2019
If a compromise with creditor, provide:	
Name of Creditor:	American Express
Original Amount Owed:	$14,025.00
Terms Reached with Creditor:	Make payments every 2 weeks to Consolidation Plus a debt relief firm
Amount Paid:	$8,422.00
SIPA (Securities Investor Protection Act)Trustee:	
Currently Open?	Yes
Date Direct Payment Initiated/Filed or Trustee Appointed:	06/03/2019

Judgment/Lien

This disclosure event involves an unsatisfied and outstanding judgment or lien against the Investment Adviser Representative.

Disclosure 1 of 2

Reporting Source:	Individual
Judgment/Lien Holder:	California Franchise Tax Board
Judgment/Lien Amount:	$8,108.85
Judgment/Lien Type:	Tax
Date Filed with Court:	09/17/2025
Date Individual Learned:	10/23/2025
Type of Court:	State Court
Name of Court:	State of California
Location of Court:	Sacramento, CA
Judgment/Lien Outstanding?	Yes

Disclosure 2 of 2

Reporting Source:	Individual
Judgment/Lien Holder:	State of California Franchise Tax Board
Judgment/Lien Amount:	$8,061.56
Judgment/Lien Type:	Tax
Date Filed with Court:	08/21/2025
Date Individual Learned:	09/16/2025
Type of Court:	State Court
Name of Court:	State of California
Location of Court:	Sacramento , CA
Docket/Case #:	2025-0230515
Judgment/Lien Outstanding?	Yes

End of Report

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